



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/781,703	02/20/2004	Edward R. Howorka	E3331.0629	4196
7590 11/10/2008 Dickstein Shapiro Morin & Oshinsky LLP 41st Floor 1177 Avenue of the Americas New York, NY 10036-2714				
EXAMINER LEMIEUX, JESSICA				
ART UNIT 3693		PAPER NUMBER		
MAIL DATE 11/10/2008		DELIVERY MODE PAPER		

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

**Office Action Summary****Application No.**

10/781,703

**Applicant(s)**

HOWORKA ET AL.

**Examiner**

JESSICA L. LEMIEUX

**Art Unit**

3693

**Period for Reply** -- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 28 August 2008.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-37 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-37 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-946)
- 3) ☐ Information Disclosure Statement(s) (PTO/SF/ICE)  
Paper No(s)/Mail Date \_\_\_\_\_
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_\_

### **DETAILED ACTION**

1. This Final Office action is in response to the application filed on February 20<sup>th</sup>, 2004 and applicant's arguments on August 28<sup>th</sup>, 2008.

#### ***Response to Arguments***

2. Applicant's arguments, with respect to 35 U.S.C. 112 rejections of claims 1-37 have been fully considered and are persuasive in view of the amended claim language. The 35 U.S.C. 112 rejections of claims 1-37 has been withdrawn.
3. Applicant argues that the prior art does not specifically teach a trading floor identifier unique to each trading floor is audibly announced to each trading floor. Applicant's arguments have been fully considered but they are not persuasive.
4. Applicant argues that Daniels does not specifically teach a recited trading floor identifier unique to each trading floor. Examiner notes that Daniels teaches "a preferred trading floor table includes fields in which a unique trade identifier, an identifier associated with a trader, a property identifier, the number of shares to be traded, the bid price of each share, a trade type, a trade status, and a time at which a trade is completed are stored" (paragraph [0081]). A trading floor represents the physical location where traders complete the buying/selling of an asset. Examiner further notes, that a trading floor can be a bank or broker, both of which can be parties to a trade. Therefore, a trading floor is associated with a trader and hence an identifier that is tied to the trader is also tied to the trading floor itself to enable the identification of the parties to a deal or quote. Also, as per applicant's claim language, a trading floor is capable of only having one trader workstation. If the trading floor only has one

workstation, then it would further be obvious that the identification for the trading floor and the trader workstation would be the same. Therefore, applicant's arguments have been fully considered but they are not persuasive.

5. Applicant argues that "one of ordinary skill in the art to which Shinn pertains would have no reason to look to the field of CD/DVD copy protection to modify Shinn." Applicant's specification states that the vocalization of the unique identifier "prevents traders from passing this data to their customers illicitly." Applicant states that Hars teaches "inserting disruptions into digital recordings to protect recordings from illicit or illegal processing." Examiner notes that although Hars isn't directly related to the trading field, Hars deals with preventing information from being passed illicitly. Examiner further notes that it would be obvious to use a known method of preventing the illicit transfer of information to achieve the same result regardless of what type of information is targeted. Applicant also argues that "because... Daniels [is] in technical fields very different from Shin ([real estate]), the skilled person would not have considered [it] in seeking to make any modifications to Shinn. Examiner notes that both Shin and Daniels deal with an electronic trading environment, and are therefore in the same field. Therefore, applicant's arguments have been fully considered but they are not persuasive.

6. Applicant argues that Shinn teaches "not vocalizing the currency of the trade or the other party's identity." Examiner notes that applicant's invention teaches "a trading floor identifier unique to his trading floor is also announced at random intervals" (abstract). Examiner further notes that even if Shinn teaches not vocalizing the other

party's identity, it doesn't "teach away" from vocalizing their own party's identity.

Therefore, applicant's arguments have been fully considered but they are not persuasive.

7. Applicant argues that Shinn teaches away from the applicant's invention "because it would involve audibly announcing information that was not directly related to the trades being considered by the trader." Examiner notes that although Shinn teaches that the amount of data that is transmitted is minimized, no where in the reference does it state that a trading floor identifier is not considered to be relevant to the trades being considered by the trader. Therefore, it would be obvious to modify Shinn to include vocalizing identifiers since there isn't anything specifically teaching away from doing so. Therefore, applicant's arguments have been fully considered but they are not persuasive.

8. Also, Examiner notes that, as per MPEP § 2144.03(C), the statements of Official Notice made in the art rejection that have not been traversed have been established as admitted prior.

### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

9. Claims 1, 5, 9-11, 15-16, 19-20, 23, 26-27, 31-32 and 36-37 are rejected under 35 U.S.C. 103(a) as being unpatentable over US Patent Number 5,806,050 to Shinn et

al. (hereinafter Shinn) in view of US Patent Application Number 2002/0091623 to Daniels (hereinafter Daniels) further in view of US Patent Application Number 2002/0076048 to Hars (hereinafter Hars).

As per claims 1, 11, 20, 27 and 37

Shinn discloses a plurality of trading floors each having at least one trader workstation, and a distributor for distributing to the trader workstation data related to one or more instruments being traded on the system, at least a portion of the data being audibly announced at the at least one trader workstation (abstract).

Shinn does not specifically teach a trading floor identifier unique to each trading floor is also audibly announced to each trading floor however Shinn does teach that trading information that is displayed to traders can also be vocalized (abstract).

Daniels teaches a trading floor identifier unique to each trading floor is displayed to traders (page 5, paragraphs [0081-0082]). Examiner further notes that the teaching reference Hars discloses making an audible announcement (insert a disruption) to protect recordings from illicit or illegal processing (page 2, paragraph [0024] and page 3, paragraphs [0036-0037]).

Therefore it would have been obvious to one skilled in the art at the time of invention to modify the trading system of Shinn to include an audible announcement of an identifier as taught by Daniels to avoid illicit communication of data as further taught by Hars.

As per claims 5 and 16

Shinn, Daniels and Hars do not specifically teach the trading floor identifier comprises a four letter trading floor code.

Applicants admitted prior art teaches the trading floor identifier comprises a four letter trading floor code (page 1, paragraph [0010], lines 4-6).

Therefore it would have been obvious to one skilled in the art at the time of invention to modify the trading floor identifier of Daniels to be comprised of a four letter trading floor code as disclosed by applicant's admitted prior art as it's old and well-known in the financial trading industry.

As per claim 9

Examiner notes that the combination of Shinn, Daniels and Hars teach all the claimed limitations, as discussed with respect to claim 1 above and Shinn further discloses a first voice store for storing a vocalization of at least a portion of the trading floor identifier (column 3, line 61- column 4, line 7).

As per claim 10

Examiner notes that the combination of Shinn, Daniels and Hars teach all the claimed limitations, as discussed with respect to claim 1 above and Shinn further discloses a second voice store for storing a vocalization portion of the trading floor

identifier, the stored vocalization having a different intonation from the vocalization stored in the first voice store (column 3, line 61- column 4, line 7).

As per claims 15 and 31

Examiner notes that the combination of Shinn, Daniels and Hars teach all the claimed limitations, as discussed with respect to claim 1 above and Hars further discloses the trading floor identifier is announced when a trader workstation on that trading floor logs onto the trading system (page 2, paragraph [0024] and page 3, paragraph [0037]). Examiner notes that upon logging into the workstation the transmission of the information commences and therefore, inserting a disruption, or trading floor identifier to be announced would help protect recordings from illicit or illegal processing.

Therefore it would have been obvious to one skilled in the art at the time of invention to modify the trading system of Shinn to include that the trading floor identifier is announced when a trader workstation on that trading floor logs onto the trading system as taught by Hars since it would help to avoid illicit communication of data by making the listener aware of the source of the information initially.

As per claims 19, 26 and 36

Examiner notes that the combination of Shinn, Daniels and Hars teach all the claimed limitations, as discussed with respect to claims 11, 20 and 27 above and Shinn further discloses a recorded message (column 3, line 61- column 4, line 7).

As per claims 23 and 32

Shinn, Daniels and Hars do not specifically teach the identifier is a series of characters.

Applicants admitted prior art teaches the identifier is a series of characters (page 1, paragraph [0010], lines 4-6).

Therefore it would have been obvious to one skilled in the art at the time of invention to modify the trading floor identifier of Daniels to include that the identifier is a series of characters as disclosed by applicant's admitted prior art as it's old and well-known in the financial trading industry.

10. Claims 2-4, 12-14, 21-22 and 28-30 are rejected under 35 U.S.C. 103(a) as being unpatentable over US Patent Number 5,806,050 to Shinn et al. (hereinafter Shinn) in view of US Patent Application Number 2002/0091623 to Daniels (hereinafter Daniels) in view of US Patent Application Number 2002/0076048 to Hars (hereinafter Hars) and further in view of Official Notice.

As per claims 2, 12, 21 and 28

Examiner notes that the combination of Shinn, Daniels and Hars teach all the claimed limitations, as discussed with respect to claim 1 above however Shinn, Daniels and Hars do not specifically teach the trading floor identifier is announced at random/irregular intervals.

Official Notice is taken that it is old and well known to make announcements at random/irregular intervals. Therefore it would have been obvious to one skilled in the art at the time of invention to modify the trading announcement of Shinn to include announcing the trading floor identifier at random/irregular intervals. One would have been motivated to make random/irregular announcements to avoid the illicit communication of data.

As per claims 3, 13, 22 and 29

Examiner notes that the combination of Shinn, Daniels and Hars teach all the claimed limitations, as discussed with respect to claim 1 above however Shinn, Daniels and Hars do not specifically teach the trading floor identifier is announced at random intervals with a predetermined number of announcements being made over a given time period.

Official Notice is taken that it is old and well known to make announcements at random intervals with a predetermined number of announcements being made over a given time period. Therefore it would have been obvious to one skilled in the art at the time of invention to modify the trading announcement of Shinn to include making announcements at random intervals with a predetermined number of announcements being made over a given time period to make sure that enough announcements are made in order to avoid the illicit communication of data.

As per claims 4, 14 and 30

Examiner notes that the combination of Shinn, Daniels and Hars teach all the claimed limitations, as discussed with respect to claim 1 above however Shinn, Daniels and Hars do not specifically teach two announcements of the trading floor identifier are made each hour.

Official Notice is taken that it is old and well known to make two announcements of the trading floor identifier each hour. Examiner notes that Shinn teaches at many announcements are made each hour, therefore it is obvious that at least two announcements are made each hour with respect to the trading floor identifier. Therefore it would have been obvious to one skilled in the art at the time of invention to modify the trading announcement of Shinn to include making two announcements of the trading floor identifier each hour to make sure that enough announcements are made in order to avoid the illicit communication of data.

11. Claims 6, 17, 24 and 33-34 are rejected under 35 U.S.C. 103(a) as being unpatentable over US Patent Number 5,806,050 to Shinn et al. (hereinafter Shinn) in view of US Patent Application Number 2002/0091623 to Daniels (hereinafter Daniels) in



view of US Patent Application Number 2002/0076048 to Hars (hereinafter Hars) and further in view of US Patent Number 5,212,731 to Zimmermann (hereinafter Zimmermann).

As per claims 6, 17, 24 and 34

Shinn, Daniels and Hars do not specifically teach the intonation of the last letter of the four letter trading floor code is upwards.

Zimmerman teaches the intonation of the last letter is upwards (abstract, lines 16-18).

Therefore it would have been obvious to one skilled in the art at the time of invention to modify the trading floor code of Daniels to include the intonation of the last letter of the four letter trading floor code is upwards as taught by Zimmerman to signal completion.

As per claim 33

Shinn, Daniels and Hars do not specifically teach the intonation of the final character is different from the intonation of the other characters.

Zimmerman teaches the intonation of the final character is different from the intonation of the other characters (abstract, lines 16-18).

Therefore it would have been obvious to one skilled in the art at the time of invention to modify the trading floor code of Daniels to include the intonation of the final character is different from the intonation of the other characters as taught by Zimmerman to signal completion.

12. Claims 7-8, 18, 25 and 35 are rejected under 35 U.S.C. 103(a) as being unpatentable over US Patent Number 5,806,050 to Shinn et al. (hereinafter Shinn) in view of US Patent Application Number 2002/0091623 to Daniels (hereinafter Daniels) in view of US Patent Application Number 2002/0076048 to Hars (hereinafter Hars) further in view of US Patent Number 6,574,600 to Fishman et al (hereinafter Fishman).

As per claim 7

Shinn, Daniels and Hars do not specifically teach a first voice synthesizer for synthesizing at least a portion of the trading floor identifiers.

Fishman teaches a first voice synthesizer for synthesizing at least a portion of the trading floor identifiers (column 3, lines 31-41).

Therefore it would have been obvious to one skilled in the art at the time of invention to modify the trading vocalization of Shinn to include a first voice synthesizer for synthesizing at least a portion of the trading floor identifiers as taught by Fishman as

a well-known substitute for pre-recorded audio as a means of data delivery for converting data into verbal comments/tones.

As per claim 8

Examiner notes that the combination of Shinn, Daniels and Hars teach all the claimed limitations, as discussed with respect to claim 1 above and Shinn further discloses a second voice store for storing a vocalization portion of the trading floor identifier, the stored vocalization having a different intonation from the vocalization stored in the first voice store (column 3, line 61- column 4, line 7).

Shinn, Daniels and Hars do not specifically teach a voice synthesizer for synthesizing a portion of the trading floor identifier.

Fishman teaches a voice synthesizer for synthesizing a portion of the trading floor identifier (column 3, lines 31-41).

Therefore it would have been obvious to one skilled in the art at the time of invention to modify the trading vocalization of Shinn to include a voice synthesizer for synthesizing a portion of the trading floor identifier as taught by Fishman as a means of data delivery for converting data into different verbal comments/intonations.

As per claims 18, 25 and 35

Shinn, Daniels and Hars do not specifically teach a synthesized voice.

Fishman teaches a synthesized voice (column 3, lines 31-41).

Therefore it would have been obvious to one skilled in the art at the time of invention to modify the trading vocalization of Shinn to include a synthesized voice as taught by Fishman as a well-known substitute for pre-recorded audio as a means of data delivery for converting data into verbal comments/tones.

### ***Conclusion***

**THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of

the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to JESSICA L. LEMIEUX whose telephone number is (571)270-3445. The examiner can normally be reached on Monday-Thursday 8AM-5PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Kramer can be reached on 571-272-6783. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/James A. Kramer/  
Supervisory Patent Examiner, Art Unit 3693

Jessica L Lemieux  
Examiner  
Art Unit 3693

/J. L. L./  
Examiner, Art Unit 3693  
November 2008